

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: BARNETT et al

Serial No.: 09/610313

Confirmation No: 4221

Filed: July 5, 2000

Examiner: Angell, Jon E.

Group Art Unit: 1635

For: POLYNUCLEOTIDES ENCODING ANTIGENIC HIV TYPE C  
POLYPEPTIDES, POLYPEPTIDES AND USES THEREOF

POWER OF ATTORNEY

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §1.36, Novartis Vaccines & Diagnostics, inc., the Assignee of the above-identified patent application hereby appoints the following attorneys and agents to prosecute this application and to transact all business in the Patent and Trademark Office in connection therewith.

Regina Bautista—Reg. No. 46,280  
Helen Lee — Reg. No. 39,270  
Robert Gorman—Reg. No. 41,789  
Otis Littlefield—Reg. No. 48,751

Amy Hessler—Reg. No. 50,339  
Mei Hong — Reg. No. 55,276

Please direct all correspondence and telephone calls regarding this application to the following:

Novartis Vaccines & Diagnostics, Inc.  
Intellectual Property Bldg X-100B  
4560 Horton Street  
Emeryville, CA 94608-2916  
(617) 871-3356  
(510) 655-3542 (Fax)

NOVARTIS VACCINES & DIAGNOSTICS, INC.

Dated: 12-2-10

By: Regina Bautista

Regina Bautista, Reg. No. 46,280  
Assistant Secretary

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: BARNETT et al.Application No./Patent No.: 09/610,313Filed/Issue Date: July 5, 2000

Titled:

Novartis AG, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

the patent application/patent identified above, by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy therefore is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Chiron To: Novartis Vaccines & Diagnostics, Inc.

The document was recorded in the United States Patent and Trademark Office at

Reel 025511, Frame 0883, or for which a copy thereof is attached.

2. From: Novartis Vaccines & Diagnostics, Inc. To: Novartis AG

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☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

December 31, 2010

Date

Regina Bautista, Reg. No. 46,280

Patent Attorney

Printed or Typed Name

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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                            Voice Phone:

From:                      Name:                      ASSIGNMENT RECORDATION SERVICES  
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DECEMBER 25, 2010

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NOVARTIS VACCINES & DIAGNOSTICS, INC.  
4560 HORTON STREET  
EMERYVILLE, CA 94608-2916



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RECORDATION DATE: 12/16/2010

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NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

DOCKET NUMBER: PAT051386-US-CIP01

ASSIGNOR:

NOVARTIS VACCINES & DIAGNOSTICS,  
INC.

DOC DATE: 12/16/2010

ASSIGNEE:

NOVARTIS AG  
LICHSTRASSE 35  
BASEL, SWITZERLAND 4056

025511/0950 PAGE 2

APPLICATION NUMBER: 09610313

FILING DATE: 07/05/2000

PATENT NUMBER:

ISSUE DATE:

TITLE: POLYNUCLEOTIDES ENCODING ANTIGENIC HIV TYPE C POLYPEPTIDES,  
POLYPEPTIDES AND USES THEREOF

OCRUSER, EXAMINER

ASSIGNMENT SERVICES BRANCH

PUBLIC RECORDS DIVISION

## PATENT ASSIGNMENT

Electronic Version v1.1  
 Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
Novartis Vaccines & Diagnostics, Inc.	12/16/2010
RECEIVING PARTY DATA	
Name:	Novartis AG
Street Address:	Lichstrasse 35
City:	Basel
State/Country:	SWITZERLAND
Postal Code:	4056
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	09610313
CORRESPONDENCE DATA	
Fax Number:	(510)855-3542
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	617-871-3356
Email:	christy.snyder@novartis.com
Correspondent Name:	Novartis Vaccines & Diagnostics, Inc.
Address Line 1:	4560 Horton Street
Address Line 4:	Emeryville, CALIFORNIA 94608-2916
ATTORNEY DOCKET NUMBER:	PAT051386-US-CIP01
NAME OF SUBMITTER:	Regina Bautista
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DECEMBER 25, 2010

PTAS

NOVARTIS VACCINES & DIAGNOSTICS, INC.  
4560 HORTON STREET  
EMERYVILLE, CA 94608-2916



**\*501381424\***

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RECORDATION DATE: 12/16/2010

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NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

DOCKET NUMBER: PAT051386-US-CIP01

ASSIGNOR:

CHIRON CORPORATION

DOC DATE: 12/16/2010

ASSIGNEE:

NOVARTIS VACCINES & DIAGNOSTICS,  
INC.

4560 HORTON STREET  
EMERYVILLE, CALIFORNIA 94608-2916



025511/0883 PAGE 2

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Chiron Corporation	12/16/2010
RECEIVING PARTY DATA	
Name:	Novartis Vaccines & Diagnostics, Inc.
Street Address:	4560 Horton Street
City:	Emeryville
State/Country:	CALIFORNIA
Postal Code:	94608-2916
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